

#4

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

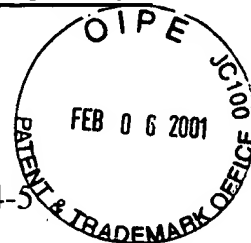
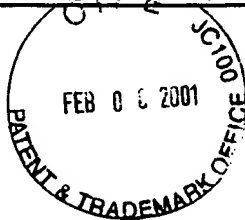
In re Patent Application of

HARRINGTON et al.

Serial No. 09/666,559

Filed: September 21, 2000

For: PROCESS AND APPARATUS FOR CONDUCTING AUCTIONS OVER  
ELECTRONIC NETWORKS



Atty. Ref.: 3594-5

Group: 2164

Examiner: Thompson, Jr. F.

\* \* \* \* \*

February 6, 2001

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**PRELIMINARY AMENDMENT**

To place the above-identified application in better condition for examination,  
please amend the subject application as follows:

**IN THE CLAIMS:**

Please cancel claims 1-64 without prejudice or disclaimer, and substitute the  
following new claims:

-- 65. A real time auctioning process for competitively auctioning financial  
instruments in response to bids submitted electronically from a plurality of disparately-  
located bidding devices, the process comprising:

02/09/2001 AWONDAF1 00000001 141140 09666559  
04 FC:115 110.00 CH